

## PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT  
(PCT Article 36 and Rule 70)

Applicant's or agent's file reference SMC 60539/MO	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/GB 03/03345	International filing date (day/month/year) 30.07.2003	Priority date (day/month/year) 28.08.2002
International Patent Classification (IPC) or both national classification and IPC C09B47/04		
Applicant AVECIA LIMITED et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 5 sheets, including this cover sheet.

This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 5 sheets.

3. This report contains indications relating to the following items:

- I  Basis of the opinion
- II  Priority
- III  Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV  Lack of unity of invention
- V  Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI  Certain documents cited
- VII  Certain defects in the international application
- VIII  Certain observations on the international application

Date of submission of the demand 22.01.2004	Date of completion of this report 12.11.2004
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**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB 03/03345

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-38                                  as originally filed

**Claims, Numbers**

1-26                                  received on 05.08.2004 with letter of 05.08.2004

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- the language of publication of the international application (under Rule 48.3(b)).
- the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- contained in the international application in written form.
- filed together with the international application in computer readable form.
- furnished subsequently to this Authority in written form.
- furnished subsequently to this Authority in computer readable form.
- The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- the description,                pages:
- the claims,                      Nos.:
- the drawings,                    sheets:

5.  This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

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**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability;  
citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes:	Claims	1-26
	No:	Claims	
Inventive step (IS)	Yes:	Claims	1-26
	No:	Claims	
Industrial applicability (IA)	Yes:	Claims	1-26
	No:	Claims	

**2. Citations and explanations**

**see separate sheet**

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/GB 03/03345

**Re Item V**

**Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

D3: GB-A-2 237 284 (MINNESOTA MINING & MFG) 1 May 1991 (1991-05-01) cited in the application

The present application describes phthalocyanine compounds of the general formula I (claims 1-13), methods involving the compounds I (claims 14-19,21,26), an article comprising a compound I (claim 20), an ink comprising a compound I (claims 22-24) as well as the use of a compound I as a security marker (claim 25).

The title compound according to ex. 9 of D3 is a representative of the compounds I according to the present case, however excluded by the subject-matter of the claims by a proviso.

The novelty of claims 1-26 is therefore acknowledged (Art. 33(2) PCT).

Closest prior art is D3.

The problem of the present application was to provide further metaloxyphthalocyanine compounds absorbing in the near infrared region of the electromagnetic spectrum.

It is evident from the description that this problem is solved.

Example 9 of D3 refers to a compound which is a representative of the compounds I according to the present case, however D3 (cf. claim 1) teaches that "one and only one of Y and Z on each ring unit must be other than H" so that example 9 of D3 discloses a compound which is not within the subject-matter of the claims of this document.

In contrast thereto the compounds I of the present case are defined as having 8 identical non-hydrogen substituents corresponding to the groups Y and Z in the compounds (I) of D3.

Because of the teaching apparent in the claims of D3, the skilled man being aware of this document would not have considered to generalize example 9 (which would have been necessary to arrive at the compounds I of the present case).

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International application No. PCT/GB 03/03345

The compounds I according to the present case are - by consequence - not obvious for the skilled man, and an inventive step in the sense of Art. 33(3) PCT is acknowledged for the subject-matter of claims 1-26.

Further objections:

The description was not adapted to the amended claims as requested by Article 6 PCT. This could be done in an eventual National / European Phase of examination.